

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
**Gerald Walter Baumann**

Serial No.: 10/043,053

Filed: January 8, 2002

For: **Load balancing and dynamic control  
of multiple data streams in a network**



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Attorney Docket No. **BLD920000034US2**

Examiner: **Unknown**

Art Unit: **2155**

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**INFORMATION DISCLOSURE STATEMENT  
PURSUANT TO 37 C.F.R. § 1.97(b)(3)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith the references listed on the attached Substitute Form 1449/PTO pursuant to 37 C.F.R. § 1.97(b)(3), i.e., before the mailing of the first Office action on the merits.. Copies of these references are included herewith.

**CERTIFICATE OF MAILING**  
under 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on Dec. 3, 2003.

MARY ANN HEALEY  
Type Name of Person Signing

Mary Ann Healey  
Signature of Person Signing

No fee is believed to be due to submit this paper; however, please charge any fees necessary to further the prosecution of this application to **IBM Corporation's Deposit Account No. 09-0457**.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Craig Yndell", is written over a horizontal line.

Craig Yndell

*Reg. No. 39,083*

BRACEWELL & PATTERSON, L.L.P.

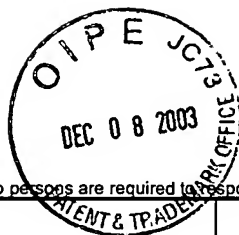
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Doc ID 128922



PTO/SB/08A (08-03)  
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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/043,053
Filing Date	January 8, 2002
First Named Inventor	Gerald Walter Bauman
Art Unit	2155
Examiner Name	Unknown
Attorney Docket Number	BLD920000034US2

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### U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	A	US- 5,805,804	09-08-1998	Laursen et al.	
	B	US- 6,061,733	05-09-2000	Bodin et al.	
	C	US- 6,219,669 B1	04-17-2001	Haff et al.	
	D	US- 6,289,012 B1	09-11-2001	Harrington et al.	
	E	US- 6,339,785 B1	01-15-2002	Feigenbaum	
	F	US- 6,430,577 B1	08-06-2002	Hart	
	G	US- 6,606,646 B2	08-12-2003	Feigenbaum	
		US-			
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### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

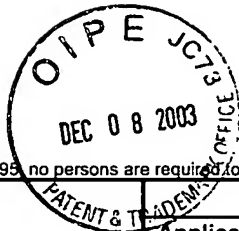
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	H	LIU, Y.; GONG, W.; SHENOY, P.; "On the impact of concurrent downloads," Simulation Conference, 2001; Proceedings of the Winter, Vol. 2; 9-12 Dec., pgs 1300-1305.	

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